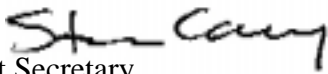




Department of Energy
Washington, DC 20585
August 3, 2001

MEMORANDUM FOR PROGRAM SECRETARIAL OFFICERS, ADMINISTRATOR
FOR NUCLEAR SECURITY, AND DOE OPERATIONS/FIELD
OFFICE MANAGERS

FROM Steven V. Cary 
Acting Assistant Secretary
Environment, Safety and Health

SUBJECT DOE Environmental Management System Self-Assessment

On February 5, 2001, Department of Energy (DOE) Secretary Spencer Abraham issued DOE Notice 450.4, "Assignment of Responsibilities for Executive Order 13148, *Greening the Government through Leadership in Environmental Management*." Section 5.b.(1) of this Notice requires Program Secretarial Officers and the Administrator for Nuclear Security, in coordination with DOE Operations/Field Office Managers, to conduct a one-time self-assessment of Headquarters programs' and field elements' Environmental Management Systems (EMS). The Notice states that, to the extent possible, these self-assessments are to be conducted in conjunction with Integrated Safety Management System (ISMS) annual reviews. Executive Order 13148 requires that EMS self-assessment be completed by October 21, 2001.

The purpose of this memorandum is to collect information from the field, as the basis for the preparation of the DOE-wide EMS self-assessment. The Office of Environment, Safety and Health (EH) has the responsibility under DOE N 450.4 to collect this information and to prepare an EMS self-assessment summary report. EH also has the responsibility for submitting an annual report to the U.S. Environmental Protection Agency (EPA) on DOE's progress in meeting the goals of Executive Order 13148. This annual report will include a summary of DOE's EMS self-assessment.

Executive Order 13148 requires that, by December 31, 2005, each agency shall implement an EMS at all appropriate agency facilities based on facility size, complexity, and the environmental aspects of facility operations. To this end, EH is planning to revise DOE Order 5400.1, "General Environmental Protection Program," to incorporate the Executive Order requirements for an environmental management system, consistent with DOE's existing ISMS. Many DOE programs and sites already have third-party certified EMSs, under programs such as ISO 14001. Other programs and sites are in the process of obtaining third-party certification or have incorporated EMSs directly into their ISMSs. Although many sites have received, or plan to receive, third-party certification, the DOE Order will not require this. The purpose of this EMS self-assessment is to provide a benchmark as to where the Department stands in its EMS implementation efforts.

Please complete the attached questionnaire to assess the sites for which you have responsibility, based on your existing knowledge (including your ongoing management system oversight activities). Completing the questionnaire does not require a separate field audit. Based on the information received, DOE's Office of Environmental Policy and Guidance will prepare a summary of EMS self-assessment status for inclusion into DOE's next annual progress report on meeting the goals of Executive Order 13148.

The Operations/Field Office Managers should forward the completed self-assessment questionnaire by September 14, 2001, to the cognizant Program Secretarial Officers, with an information copy to Mr. Steven Woodbury of my staff at steven.woodbury@eh.doe.gov. Mr. Woodbury can be reached at 202-586-4371. The PSOs should formally transmit the collected questionnaires to EH-1 by September 28, 2001. *This package has been reviewed by the Field Management Council and has been approved by the Deputy Secretary for release.*

Attachment

DOE Environmental Management System Self-Assessment Questionnaire

DOE Site: _____

1. Has an Environmental Management System (EMS) been *implemented* at the site, whereby decisions regarding the protection of the public and natural and cultural resources are integrated into the planning, performance and assessment of site activities:

☐ YES (go to question #2)

☐ NO (go to question #5)

2. (If 'yes' to #1) – Please indicate if your EMS is based on one or more of the following standards or models:

☐ ISO 14001

☐ EPA Code of Environmental Management Principles (CEMP)

☐ Incorporation of environmental management system principles into DOE's Integrated Safety Management System (ISMS)

☐ Other (identify) _____

3. (If 'yes' to #1) – Is third-party certification or recognition of the system being sought, or been received, and if so, from whom? *[Third-party certification is voluntary, and not a requirement of Executive Order 13148, DOE Notice 450.4, or ISMS.]*

☐ ISO 14001 certification

☐ EPA Environmental Performance Track Recognition

☐ Other (identify) _____

If received, please indicate when: _____

4. (If 'yes' to #1)

Please indicate whether your site environmental management system:	Yes	No
a. Identifies the significant environmental aspects of the activities at the site.		
b. Identifies legal (regulatory) requirements applicable to activities at the site.		
c. Sets measurable environmental goals and objectives.		
d. Sets timeframe for achieving goals and objectives.		
e. Monitors progress in meeting the established goals and objectives.		
f. Trains personnel on environmental management system and legal requirements.		
g. Conducts periodic regulatory compliance audits.		
h. Conducts periodic environmental management system audits.		
i. Documents core elements of the site environmental management system.		

(Optional) You may add any comments or explanation to question #4 here:

5. (If 'no' to #1, i.e., an EMS has *not* been implemented at the site) – Please provide your schedule for implementing an EMS, and please indicate which, if any, of the features listed in question #4 have already been implemented at the site, or are currently being developed:

6. (If 'no' to #1, i.e., an EMS has *not* been implemented at the site) – Please identify whether an environmental compliance audit program is in place at the site, and state how frequently internal audit reviews of site operations are conducted:

7. What DOE-specific policy/guidance needs do you have that would facilitate implementation and/or improvement of an EMS at the site (e.g., issuance of a DOE EMS order, revision of ISMS guides to expand on EMS principles, revision of ISMS Criteria Review and Assessment Documents to incorporate EMS components, etc.)?

Thank you for your assistance.

Operations/Field Office Managers should forward the completed self-assessment questionnaire by September 14, 2001, to the cognizant Program Secretarial Officer, with an information copy to Steven Woodbury, EH-413, (fax 202-586-3915, or e-mail steven.woodbury@eh.doe.gov). PSOs should formally transmit the collected questionnaires to EH-1 by September 28, 2001.

Completed on behalf of the site by: _____
telephone _____ email _____